

PA 37.329 W

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**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN
APPLICATION DATA SHEET (37 CFR 1.76)**

BEST AVAILABLE COPY

Title of
Invention

SYSTEMS FOR RELEASING ACTIVE INGREDIENTS, BASED ON
BIODEGRADABLE OR BIOCOMPATIBLE POLYMERS WITH A SHAPE MEMORY
EFFECT

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 10/520,782, filed on January 10, 2005,
☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one: Andreas Lendlein

Signature: X Andreas Lendlein

Citizen of: Germany

Inventor two: Susi Steuer

Signature: X

Citizen of: Germany

Inventor three: Annika Tuleweit

Signature: X

Citizen of: Germany

Inventor four: _____

Signature: _____

Citizen of: _____

☐ Additional inventors or a legal representative are being named on _____ additional form(s) attached hereto.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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FULL NAME OF INVENTOR(S)

Inventor one: Andreas Lendlein

Signature: X Citizen of: Germany

Inventor two: Susi Steuer

Signature: X S. Steuer Citizen of: Germany

Inventor three: Annika Tuleweit

Signature: X Citizen of: Germany

Inventor four: _____

Signature: _____ Citizen of: _____

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PTO/SB/01A (09-04)
Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN
APPLICATION DATA SHEET (37 CFR 1.76)**

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Title of Invention	SYSTEMS FOR RELEASING ACTIVE INGREDIENTS, BASED ON BIODEGRADABLE OR BIOCOMPATIBLE POLYMERS WITH A SHAPE MEMORY EFFECT
-------------------------------	--

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 10/520,782 filed on January 10, 2005
☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one: Andreas Lendlein

Signature: X Citizen of: Germany

Inventor two: Susi Steuer

Signature: X Citizen of: Germany

Inventor three: Annika Tuleweit

Signature: Annika Tuleweit Citizen of: Germany

Inventor four: _____

Signature: _____ Citizen of: _____

☐ Additional inventors or a legal representative are being named on _____ additional form(s) attached hereto.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PA 37.320

PTO/SB/81 (11-04)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**POWER OF ATTORNEY
and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/520,782
Filing Date	January 10, 2005
First Named Inventor	Andreas Lendlein
Title	Systems for Releasing Active Ingredients, Based on Biodegradable or Biocompatible Polymers with a Shape Memory Effect
Art Unit	
Examiner Name	
Attorney Docket Number	MNE 107

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I hereby revoke all previous powers of attorney given in the above-identified application.

I hereby appoint:

☒ Practitioners associated with the Customer Number:

23579

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☐ The address associated with the above-mentioned Customer Number:

OR

☒ The address associated with Customer Number:

23579

OR

☐ Firm or Individual Name

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature	<i>Dr. Veit Otto</i>	on behalf of mnemoScience GmbH	Date	Feb. 10, 2005
Name	Dr. Veit Otto		Telephone	+49-2451-971180
Title and Company	Managing Director of mnemoScience GmbH			

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ *Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

MNE 107 / 077833/00012

PA 37320 US

PTO/SB/96 (09-04)

Approved for use through 07/31/2008. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Andreas Lendlein, Susi Steuer, and Annika Tuleweit

Application No./Patent No.: 10/520,782 Filed/Issue Date: January 10, 2005

Entitled:

mnemoScience GmbH

(Name of Assignee)

a corporation of Germany

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

A ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Dr. Veit Otto

Signature

February 10, 2005

Date

Dr. Veit Otto

Printed or Typed Name

+49-2451-971180

Telephone Number

Managing Director

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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ASSIGNMENT

We, Andreas Lendlein of Sundgauerstrasse 142, Berlin, Germany D-14167; Susi Steuer of Richard-Wagner-Str. 47, Bad Kreuznach, Germany D-55543 and Annika Tuleweit of

Waterloostr.1, Hameln, Germany D-31785, in consideration of ten euro and other valuable consideration paid to us by mnemoScience GmbH, a company organized and existing under the laws of Germany, having its principal place of business at Carlstrasse 50, Uebach-Palenberg, Germany D-52531 (hereinafter "said Assignee"), the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said Assignee, its successors and assigns, the entire interest for the United States of America, and its territories and all foreign countries and jurisdictions, including all rights of priority under the International Convention for the Protection of Industrial Property, in a certain invention or improvement in *"Systems for Releasing Active Ingredients, Based on Biodegradable or Biocompatible Polymers with a Shape Memory Effect"* described in U.S. Serial No. 10/520,782 filed in the United States Patent and Trademark Office on January 10, 2005, by Andreas Lendlein, Susi Steuer, and Annika Tuleweit, which is a filing under 35 U.S.C. § 371 of PCT Application No. PCT/EP2003/007515 filed under the Patent Cooperation Treaty on July 10, 2003, which claims priority to provisional applications, U.S. Provisional Application Serial No. 60/395,167 filed on July 10, 2002; U.S. Provisional Application Serial No. 60/218,408 filed on July 14, 2002; and U. S. Provisional Application Serial No. 60/218,760 filed on July 17, 2002 in the United States Patent and Trademark Office, and in all Letters Patent of the United States and its territories and all foreign countries and jurisdictions which may or shall be granted on said invention, or any parts thereof, or on said application, or any provisional, divisional, continuation, continuation-in-part, reissue, or other applications based in whole or in part thereon. And we agree, for ourselves and our executors and administrators, with said Assignee and its successors and assigns, but at its or their expense or charges, hereafter to execute all applications, amended specifications, deeds or other instruments, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and its territories and in all other foreign countries and jurisdictions to said Assignee, with specifications and claims in such

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Title: "Systems for Releasing Active Ingredients, Based on Biodegradable or Biocompatible Polymers with a Shape Memory Effect"
By: Andreas Lendlein, Susi Steuer, and Annika Tulewelt
Filed: January 10, 2005
ASSIGNMENT

form as shall be approved by the counsel of said Assignee, and to vest and confirm in said Assignee, its successors and assigns, the legal title to all such patents.

And we do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said Assignee, its successors and assigns.

WITNESS my hand and seal this 3rd day of February, 2005.

Andreas Lendlein
Andreas Lendlein

Witnesses:

1. Signed: Vera Milkeret
Printed Name: MILKERET, VERA
Address: Dorfstr. 6, 14559 Trebbin
2. Signed: Ina Nordwald
Printed Name: NORDWALD, INA
Address: Berliner Str. 44, 14169 Berlin

Title: "Systems for Releasing Active Ingredients, Based on Biodegradable or Biocompatible Polymers with a Shape Memory Effect"
By: Andreas Lendlein, Susi Steuer, and Annika Tuleweit
Filed: January 10, 2005
ASSIGNMENT

WITNESS my hand and seal this 106 day of February, 2005.

S. Steuer
Susi Steuer

Witnesses:

1. Signed: A. - Alteheld
Printed Name: ARMIN ALTEHELD
Address: RICHARD-WAGNER-STR. 85
55543 BAD KREUZNACH, GERMANY
2. Signed: Gertrud Steuer
Printed Name: Gertrud Steuer
Address: Rich. Wagner Str. 47
G - 55543 Bad Kreuznach

Title: "Systems for Releasing Active Ingredients, Based on Biodegradable or Biocompatible Polymers with a Shape Memory Effect"
By: Andreas Lendlein, Susi Steuer, and Annika Tuleweit
Filed: January 10, 2005
ASSIGNMENT

WITNESS my hand and seal this 8th day of February, 2005.

Annika Tuleweit
Annika Tuleweit

Witnesses:

1. Signed: Madeleine Ulrich
Printed Name: Madeleine Ulrich
Address: Sedanstrasse 3
31785 Hameln

2. Signed: Guido Schickens
Printed Name: Guido Schickens
Address: Von-Rechen-Weg 10b
31785 Hameln